
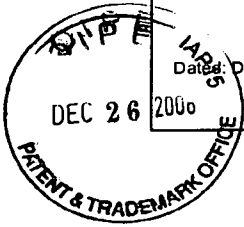


I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV967909662US, on the date shown below in an envelope addressed to: MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: December 26, 2006 Signature: 

Christine M. Holmes

Docket No.: 210\_794  
(PATENT)



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Mikhail B. Gorbounov et al.

Application No.: 10/594,651

Confirmation No.: 2312

Filed: September 27, 2006

Art Unit: 3753

For: HEAT EXCHANGER WITH MULTIPLE  
STAGE FLUID EXPANSION IN HEADER

Examiner: Not Yet Assigned

**INFORMATION DISCLOSURE STATEMENT (IDS)**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR 1.97, Applicant(s) hereby make of record the following documents. A PTO Form SB/08 and a full copy of each of the documents required under 37 CFR 1.98(a)(2) accompany this statement.

Applicant(s) also submit herewith the following documents, issued during the prosecution of International Application No. PCT/US05/47362, which corresponds to the above referenced application: A copy of the International Search Report and also a copy of the Written Opinion of the International Search Authority.

This statement is not to be interpreted as a representation that the cited documents are material, that an exhaustive search has been conducted, or that no

other relevant information exists. Nor shall the citation of any document herein be construed *per se* as a representation that such document is prior art. Moreover, Applicant(s) understand(s) the Examiner will make an independent evaluation of the cited documents.

This Information Disclosure Statement is filed within three months of the date of entry of the national stage of an international application as set forth in 37 CFR 1.491 (37 CFR 1.97(b)(2)).

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to Deposit Account No. 03-0835, under Order No. 210\_794. A duplicate copy of this paper is enclosed.

Dated: December 26, 2006

Respectfully submitted,

By William W. Habelt

William W. Habelt

Registration No.: 29,162

WALL MARJAMA & BILINSKI LLP

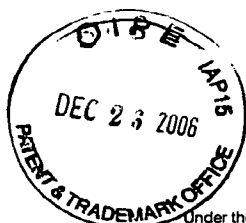
250 South Clinton Street

Suite 300

Syracuse, New York 13202

(315) 425-9000

Customer No.: 20874



PTO/SB/08A/B (09-06)  
Approved for use through 03/31/2007. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|  |   |                          |                        |                        |         |
|--|---|--------------------------|------------------------|------------------------|---------|
| <b>Substitute for form 1449/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |   | <b>Complete if Known</b> |                        |                        |         |
|  |   | Application Number       | 10/594,651-Conf. #2312 |                        |         |
|  |   | Filing Date              | September 27, 2006     |                        |         |
|  |   | First Named Inventor     | Mikhail B. Gorbounov   |                        |         |
|  |   | Art Unit                 | 3753                   |                        |         |
|  |   | Examiner Name            | Not Yet Assigned       |                        |         |
| Sheet  | 1 | of                       | 1                      | Attorney Docket Number | 210_794 |

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /AF/

| U.S. PATENT DOCUMENTS |                          |  |                                |  |   |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       | AA*                      | US-5,632,329                             | 05-27-1997                     | Fay  |   |
|                       | AB*                      | US-4,724,904                             | 02-16-1988                     | Fletcher et al.                                    |   |
|                       | AC*                      | US-4,607,689                             | 08-26-1986                     | Mochida et al.                                     |   |
|                       | AD*                      | US-5,415,223                             | 05-16-1995                     | Reavis et al.                                      |   |
|                       | AE*                      | US-6,340,055                             | 01-22-2002                     | Yamauchi et al.                                    |   |
|                       | AF*                      | US-5,320,165                             | 06-14-1994                     | Hughes   |   |
|                       | AG*                      | US-20010004935-A1                        | 06-28-2001                     | Sanada et al.                                      |   |
|                       | AH*                      | US-6,564,863                             | 05-20-2003                     | Martins et al.                                     |   |
|                       | AI*                      | US-20030155109-A1                        | 08-21-2003                     | Kawakubo et al.                                    |   |
|                       | AJ*                      | US-5,743,329                             | 04-28-1998                     | Damsohn et al.                                     |   |
|                       | AK*                      | US-4,382,468                             | 05-10-1983                     | Hastwell et al.                                    |   |
|                       | AL*                      | US-5,934,367                             | 08-10-1999                     | Shimmura et al.                                    |   |
|                       | AM*                      | US-5,517,757                             | 05-21-1996                     | Hayashi et al.                                     |   |
|                       | AN*                      | US-6,688,138                             | 02-10-2004                     | DiFlora  |   |
|                       | AO*                      | US-20030116308                           | 06-26-2003                     | Watanabe et al.                                    |   |
|                       | AP*                      | US-5,941,303                             | 08-24-1999                     | Gowan et al.                                       |   |
|                       | AQ*                      | US-6,688,137                             | 02-10-2004                     | Gupte  |   |
|                       | AR*                      | US-5,971,065                             | 10-26-1999                     | Bertilson et al.                                   |   |
|                       | AS*                      | US-5,967,228                             | 10-19-1999                     | Bergman et al.                                     |   |
|                       | AT*                      | US-5,826,649                             | 10-27-1998                     | Chapp et al.                                       |   |
|                       | AU*                      | US-5,341,870                             | 08-30-1994                     | Hughes et al.                                      |   |

| FOREIGN PATENT DOCUMENTS |                          |   |                     |  |   |                |
|--------------------------|--------------------------|---|---------------------|--|---|----------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date | Name of Patentee or<br>Applicant of Cited Document       | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|                          |                          | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | MM-DD-YYYY          |  |   |                |
|                          | BA                       | EP-0228330  | 07-08-1987          | Chausson Usines Sa                                       |   |                |
|                          | BB                       | FR-1258044  | 04-07-1961          | Lummus Nederland N V                                     |   |                |
|                          | BC                       | JP-2217764  | 08-30-1990          | Matsushita electric Ind Co Ltd                           |   |                |
|                          | BD                       | JP-4080575  | 03-13-1992          | Technol Res Assoc Super<br>Heat Pump Energ Accum<br>Syst |   |                |
|                          | BE                       | JP-6241682  | 09-02-1994          | Hitachi Ltd  |   |                |
|                          | BF                       | JP-7301472  | 11-14-1995          | Matsushita Refrig Co Ltd                                 |   |                |
|                          | BG                       | JP-8233409  | 09-13-1996          | Matsushita Refrig Co Ltd et<br>al.                       |   |                |
|                          | BH                       | JP-2002022313   | 01-23-2002          | Matsushita Refrig Co Ltd                                 |   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

|                       |                  |                    |            |
|-----------------------|------------------|--------------------|------------|
| Examiner<br>Signature | /Allen Flanigan/ | Date<br>Considered | 12/13/2008 |
|-----------------------|------------------|--------------------|------------|



DEC 26 2006

PTO/SB/08A/B (09-06)

Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|   |   |    |   |                          |                        |
|---|---|----|---|--------------------------|------------------------|
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |   |    |   | <b>Complete if Known</b> |                        |
|   |   |    |   | Application Number       | 10/594,651-Conf. #2312 |
|   |   |    |   | Filing Date              | September 27, 2006     |
|   |   |    |   | First Named Inventor     | Mikhail B. Gorbounov   |
|   |   |    |   | Art Unit                 | 3753                   |
|   |   |    |   | Examiner Name            | Not Yet Assigned       |
|   |   |    |   | Attorney Docket Number   | 210_794                |
| Sheet   | 2 | of | 1 |                          |                        |

| NON PATENT LITERATURE DOCUMENTS |                          |   |                |
|---------------------------------|--------------------------|---|----------------|
| Examiner<br>Initials            | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 |                          |   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|



Application No. (if known): 10/594,651

Attorney Docket No.: 210\_794

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV967909662US in an envelope addressed to:

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on December 26, 2006  
Date

Signature

Christine M. Holmes

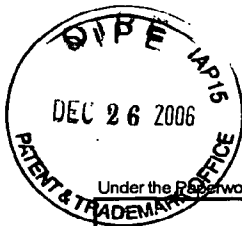
Typed or printed name of person signing Certificate

Registration Number, if applicable

(315) 425-9000  
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

IDS (Citation) by Applicant (15 References) (1 page)



12-27-06

6P3753

IFW

PTO/SB/21 (09-06)

Approved for use through 03/31/2007. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

69

Application Number

10/594,651-Conf. #2312

Filing Date

September 27, 2006

First Named Inventor

Mikhail B. Gorbounov

Art Unit

3753

Examiner Name

Not Yet Assigned

Attorney Docket Number

210\_794

**ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts under  
37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication  
to TC☐ Appeal Communication to Board of  
Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please  
Identify below):PTO/SB/08A/B (2 pg.), Certificate  
of Express Mailing (1 pg.), Copy of  
International Search Report (5  
pgs.), copies of references BA and  
BB (59 pgs.) and Return Mailroom  
Postcard

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

WALL MARJAMA &amp; BILINSKI LLP

Signature

Printed name

William W. Habelt

Date

December 26, 2006

Reg. No.

29,162

**Transmittal**I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV967909662US, on the date shown below in an envelope addressed to:  
MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: December 26, 2006

Signature

  
Christine M. Holmes